

STATE GAMING CONTROL BOARD

INSTRUCTIONS FOR REGISTERING AS AN INDEPENDENT AGENT

The following instructions are to help expedite the registration of Independent Agents (IA) and to minimize the number of returned filings due to incorrect and/or incomplete information as required by the Gaming Control Board (GCB). Please use the following information to clarify any misunderstanding on how to complete the forms. **NOTE:** The following instructions DO NOT apply to IAs required by the Nevada Gaming Commission to file an application for a determination of suitability. If the NGC makes this determination, the IA and the licensee will be notified in writing (Refer to Regulation 25.030).

1. **JR-08**, Report of Arrangements (ROA).

When determining whether to select Independent Agent or Collection Representative, select Collection Representative if collecting credit is the IA's only function. If the IA will be performing junket and collection duties, choose Independent Agent.

- A. Provide the IA's name and home address.
- B. Business Name - If the IA operates under a fictitious/business name (i.e., John Doe's Casino Tours), the fictitious/business name should be indicated as the Business Name.
Business Address - Complete the business address.
Business Type - Check the appropriate box for business type based upon the way the IA is advertising and conducting general business.
All officers, directors, or owners of at least 5% should be listed on lines 1 through 3. Add an additional page if necessary. All individuals listed with ownership of 5% or more must submit a Personal History Record (Form 4R), if the GCB does not have a current one (less than three years old) on file.
- C. If an IA compensates another person other than clerical personnel, the individual(s) must be disclosed on an attached list. Include the individual's position, social security number (if applicable), and date of birth. (This information must be updated annually, in accordance with Regulation 25.060.)
- D. Provide the same information as required in Item C for those family members assisting in the IA's junket business. Also include the familial relationship.
- E. Provide the casino's name and address.
- F. Provide an answer. "Yes" should be selected only when the IA will guarantee the collection of credit instruments, and only then will a Personal Financial Questionnaire (PFQ) be required to be submitted to the GCB.
- G. Provide an answer. If the IA will be collecting credit, "Yes" should be selected. The IA and all individuals assisting in the collections should be included on lines 1 through 3.

2. **JR-11**, Irrevocable Appointment of Agent (IAA)

When determining whether to select "Independent Agent" or "Collection Representative," please ensure that "Collection Representative" is chosen only if it is also selected on the ROA, per previously stated instructions.

"Name of Independent Agent" – provide IA's name.

"Name of Business" – provide the IA's name or the fictitious/business name; it should match "Business Name" listed on the ROA.

JR-11 (Continued)

“Street, City, State, Zip Code” – provide an address. Please ensure that the address provided is valid and current.

“Licensee” – provide the casino’s name.

3. **Form 4R, Personal History Record - Registration for Filing of Independent Agent (PHR)**
 1. General Information - provide requested information.
 2. Personal Information – provide all requested information. If the IA is a naturalized U.S. citizen, provide a certified naturalization document. If not a U.S. citizen, provide the alien registration number or a copy of their passport and visa.
 3. Marital Information – provide requested information for spouse and include maiden name, if applicable.
 4. Arrest Information – provide requested information. Additionally, provide the circumstances/details for any “Yes” answer, for all letters A through H. If there is a bankruptcy, be sure to provide the appropriate documents including a list of creditors.
 5. Military Information – provide requested information.
 6. Education – provide requested information to include name of school, the city and state where the school is located, if graduated, and degree obtained, if applicable.
 7. Family Information – provide all requested information (even if deceased), including all maiden names for parts A, C, and D.
 8. Residences – provide requested information for previous 10 years and include current residence.
 9. Employment – include all requested information since 18 years of age. The IA must explain any gaps in employment.
 10. Character References – provide all requested information for individuals who have known the IA for at least 5 years. Do not include relatives, present employers, or employees. Include complete addresses and telephone numbers for home and business. If Character Reference is self-employed list the type of business they operate.
 11. List any privileged or professional license ever held. State where, when, and the nature of any disciplinary action taken. (If no disciplinary action, “None” should be indicated.)
 12. Answer both questions and provide applicable details.
 13. Answer question and provide applicable details.
 14. Answer question and provide applicable details.
 15. Answer question and provide applicable details.
 16. Answer question and provide applicable details.
 17. Answer question and provide applicable details.
 18. If a gaming work card has ever been issued, list the casinos and dates of issuance. If you have ever registered as a gaming employee, pursuant to NRS 463.335, list the casinos and dates for which you were registered.
 19. Answer question and provide applicable details.
 20. Answer question and provide applicable details.
 21. Answer question and provide applicable details.
 22. Attach two (2) passport type photos.
 23. Page 9 contains the oath that specifically states, “...that [the registrant] executed this statement with the knowledge that misrepresentation or failure to reveal information requested may be deemed sufficient cause for denial or revocation of a state gaming license...” The registrant’s signature is to be notarized. The “Certification of Form” must be completed only if an attorney, certified public accountant, or other agent prepared the document on behalf of the registrant.

4. **Form 18**, Request to Release Information (Release)

“To” line – leave blank (no white out)

“From” line – provide IA’s name

Complete the date and place at time of Independent Agent/Applicant’s signature. If Independent Agent is married, the spouse must also sign the Release. Both signatures must be notarized.

ADDITIONAL INFORMATION:

In addition to the GCB forms noted above, all registration packets must have a contract agreement provided by the casino. Please ensure that this agreement is properly dated. You may not back pay a registered Independent Agent prior to the date on the agreement. Furthermore, make certain that the language required by Regulation 25.050 is included in the agreement and that all attachments to the agreement are also provided.

If the IA lives in Nevada, the IA must register as a gaming employee, pursuant to NRS 463.335. If the IA has a work permit or has registered as a gaming employee from a previous location, the new location must notify the GCB of the contract with the new or additional location by submitting a Change of Employment or Additional Employment Notice.

JR-09, Independent Agent Quarterly Report (Regulation 25.040)

Quarterly, due by January 31, April 30, July 31, and October 31, for the previous calendar quarter of each year, licensees are required to provide to the GCB, an Independent Agent Quarterly Report. The required Form JR-09 can be supplied by the GCB or can be retrieved directly from the GCB website at http://www.gaming.nv.gov/agency_forms.htm.

Part A – Requires all IAs who were paid in excess of \$20,000 to be listed, with their social security number, if applicable, and the amount of compensation paid.

Part B – Requires that the top 10% of registered agents be ranked by compensation and listed accordingly, with a social security number, if applicable, and amount of compensation paid. The number of agents to be listed is determined by the licensee’s total number of registered Independent Agents. For example, if a licensee (property) has 80 registered Independent Agents, then the top 8 names (10% of 80) would be reported in Part B. An exception to the number of names required to be reported can occur only if fewer than 10% earned less than \$1,000 in the respective quarter. (Those who earned in excess of \$20,000 listed in Part A should be included when computing the top 10%.)

Part C – List all Independent Agents who were terminated during the respective quarter.

Although the form only provides space for ten (10) names for each part required, all agents meeting the criteria should be included with additional pages to be utilized as necessary.

All licensees with registered Independent Agents must submit a quarterly report for each reporting period. If the licensee has no activity to report (i.e., no commissions paid in excess of \$1,000 and no terminations), then a report indicating “No Activity” should be sent. This procedure will assist the GCB in determining if the licensee is in compliance with filing required reports in a timely and consistent manner as required by Regulation 25.040.

JR-10, Independent Agent Annual Report of Secondary Representatives (Regulation 25.060)

Annually, by July 15, each registered IA must file a list of all secondary representatives. This is the responsibility of the IA and not the licensee. As long as the licensee has notified each registered IA regarding the requirements of the regulation before June 1 of each year, the licensee is in compliance with the Regulation 25.060. Because the IA is often registered at several locations, it is not uncommon for the GCB to receive duplicate copies of the same IA's secondary report. It is only necessary for each IA to send one (1) report to the GCB. The form requests the IA to submit a list of all properties where he/she is currently registered.

Additionally, the IA is required to report, within 30 days, any changes to the information contained on the original Report of Arrangements or the Annual Report of Secondary Representatives.

If any of the above-mentioned forms are needed, they can be supplied by the GCB or can be retrieved directly from the GCB website at http://www.gaming.nv.gov/agency_forms.htm. If any questions arise or require clarification, please contact an agent on the Reg. 25 team, in the Investigations Division at the GCB at (702) 486-2260.